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**TRANSMIT THE ATTACHED TO**

Date: August 6, 2003

Name: Examiner Ella Colbert  
Company: US Patent and Trademark Office  
Fax: 703.746.5622  
Confirming No: 703.308.7064

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**GROUP 3600****FAX COVER SHEET INFORMATION**

From: R. Thomas Payne Client No.: 854737.0005  
Phone: 203.351.4192 Infortext: 5190  
Email: [tpayne@cl-law.com](mailto:tpayne@cl-law.com) Pages including cover sheet: 28  
Personal Fax: 203.708.4535 Confirming No.: 203.351.4372  
3943

**COMMENTS**

Examiner Colbert:

Thanks for returning my phone call. As suggested, the material that was filed with U.S. Patent and Trademark Office will respect to this application follows. If after reviewing this material, should you have questions, please call.

Very truly yours,

R. Thomas Payne  
Registration Number 30, 674

.StmLib1:1025377.1 08/06/03

This message is intended only for the use of the individual or entity to which it is addressed and may contain information that is privileged, confidential or exempt from disclosure under applicable law. If the reader of this message is not the intended recipient, or the employee or agent responsible for delivering the message to the intended recipient, you are hereby notified that any dissemination, distribution or copying of this communication is strictly prohibited. If you have received this communication in error, please notify us immediately by telephone and return the original message to us at the above address via the U.S. Postal Service. Thank you.

## AMENDMENT TRANSMITTAL LETTER (Small Entity)

Applicant(s): Brian C. TARBOX et al.

Docket No.

854737.0005 (TARB-101.1)

Serial No.  
10/073,632Filing Date  
February 11, 2002

Examiner

Group Art Unit  
2164

Invention: SYSTEMS AND METHODS FOR IMPROVING INVESTMENT PERFORMANCE

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Transmitted herewith is an amendment in the above-identified application.

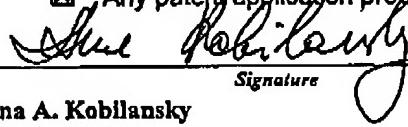
- Small Entity status of this application has been established under 37 CFR 1.27 by a verified statement previously submitted.
- A verified statement to establish Small Entity status under 37 CFR 1.27 is enclosed.

The fee has been calculated and is transmitted as shown below.

## CLAIMS AS AMENDED

	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST # PREV. PAID FOR	NUMBER EXTRA CLAIMS PRESENT	RATE	ADDITIONAL FEE
TOTAL CLAIMS	62 -	20 =	42	x \$9.00	\$378.00
INDEP. CLAIMS	11 -	5 =	6	x \$42.00	\$252.00
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>					\$0.00
TOTAL ADDITIONAL FEE FOR THIS AMENDMENT					\$630.00

- No additional fee is required for amendment.
- Please charge Deposit Account No. \_\_\_\_\_ in the amount of \_\_\_\_\_  
A duplicate copy of this sheet is enclosed.
- A check in the amount of \$630.00 to cover the filing fee is enclosed.
- The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 11-0231  
A duplicate copy of this sheet is enclosed.
- Any additional filing fees required under 37 C.F.R. 1.16.
- Any patent application processing fees under 37 CFR 1.17.



Signature

Dated: July 15, 2003

Anna A. Kobilansky

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CC:

CUMMINGS & LOCKWOOD LLC  
EXPENSE/DISBURSEMENT ACCOUNT

FLEET  
01672 ONE ATLANTIC ST. OFFICE  
STAMFORD, CONNECTICUT 06901  
(5157-119)

138372

THE SUM \*\* 630 DOLLARS AND 00 CENTS

DATE 07/14/2003

AMOUNT \$630.00

PAY: Commissioner of Patents and  
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1 MANUAL SIG. OVER \$1000.00

Additional Claims fee

S/N 10/0737632

Docket: 854737-0005 (TAR-B-101-1)

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854737.0005 (TARB-101.1)

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: )  
Brian C. Tarbox et al. ) Examiner:  
Serial No.: 10/073,632 ) Group Art Unit: 2164  
Filed: February 11, 2002 ) Confirmation No.: 6664  
For: SYSTEMS AND METHODS FOR )  
IMPROVING INVESTMENT )  
PERFORMANCE )

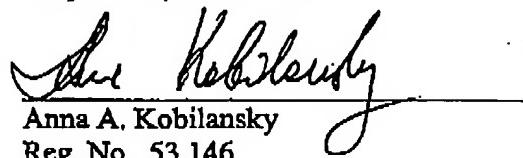
Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

SMALL ENTITY ASSERTION

Sir:

**SMALL ENTITY STATEMENT.** Applicant claims Small Entity Status. See 37 CFR 1.27.

Respectfully submitted,



Anna A. Kobilansky  
Reg. No. 53,146

Date: July 15, 2003

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